

**DEPARTMENT OF ENERGY
RECORDS MANAGEMENT
NEEDS ASSESSMENT**

Name: _____

Program/ Site: _____

Affiliated Operations Office: _____
(If appropriate)

Instructions: Please answer all questions, circling Y for yes and N for no or type Y or N if responding electronically. Please use question number 41 to address specific assistance needed from the National Archives and Records Administration (NARA) Targeted Assistance Program. Attach a separate typed sheet if necessary and include the type of assistance needed (Inventory, Scheduling, Training, Procedures, or Pack & Haul). Use question number 42 to identify areas of expertise.

Institutionalization

1. Are the policies and procedures of the records management program, including those on electronic records, widely distributed? Y/N Are they considered by employees to be mandatory? Y/N
2. What is the grade level of the individual assigned responsibility for the program and what percentage of their time is dedicated to records management? _____
3. Does the records manager routinely provide program direction to a network of records liaison officers? Y/N Are records management responsibilities included in the position descriptions of the records liaison officers? Y/N
4. Does the records manager participate in planning for new electronic information systems and in major modifications to existing systems to ensure incorporation of recordkeeping requirements and records disposition procedures? Y/N
5. Is the records manager routinely included in the planning and budgeting process and the procurement of computer equipment/software? Y/N

Training

6. Have the records manager and liaison officers received formal training in records management regulations, policies, and procedures? Y/N
7. Have other individuals with records duties received training in records management policies, maintenance procedures, and disposition? Y/N How often is refresher training provided?

8. Have all employees received training on their records management responsibilities (Y/N) and did that training include policies and procedures for managing electronic records and e-mail? Y/N Is this training included in new employee orientation? Y/N
9. What other types of training are required? And, do you prefer a workshop environment for training or on-line training modules (please circle choice)?

Records Creation and Maintenance

10. Have employees been informed of the identity and role of the records manager, the liaison officer, and file custodians who serve their organization? Y/N
11. Have contractor employees been given a clear understanding that the records they create and maintain are Federal records? Y/N
12. Are most of the records created or received in your office in electronic or paper format (please circle choice)? How are they stored (e.g. individuals' desks, file cabinets, computer drives, electronic document management system)?
13. Has guidance on record and non-record material, working papers and drafts, and personal papers been issued to employees? Y/N
14. Has internal guidance been issued on the records series to be created for each office and a format designation for the official copy? Y/N
15. Has your office established filing guidelines and procedures? Y/N If so, are they regularly reviewed and revised as needed? Y/N Are they readily available to staff? Y/N Is staff periodically briefed on the procedures? Y/N Are electronic records covered? Y/N Would you be interested in a corporate taxonomy (file categories)/file plan ? Y/N
16. Are finding aids available for recordkeeping systems, including electronic systems? Y/N
17. Are procedures in place to safeguard against unauthorized removal or loss of Federal records? Y/N
18. Can you assess your records in all formats quickly and easily? Y/N If not, why not?

Records Disposition

19. Do you use the DOE Records Inventory and Disposition Schedule (RIDS) process to inventory and identify disposition schedules for your records? Y/N If not, what process do you use?
20. Does the DOE RIDS or alternative process cover **all** the records, regardless of media, created and maintained in your office/facility? Y/N If not, describe the records that are not covered.

21. Are inventories up-to-date and do they reflect new records series/information systems and changes in programs resulting from legislative or regulatory changes? Y/N
22. Are DOE's disposition schedules adequate, correctly reflecting the content and arrangement of files or are problems encountered when trying to apply disposition schedules? Y/N (Explain)
Approximately what percentage of records remain unscheduled at your site?
23. Are permanent records transferred to the National Archives as directed in disposition schedules? Y/N Approximately what volume remains on site?
24. Are inactive records routinely removed from office space to inactive storage? Y/N Volume that requires assistance? Federal Site: _____ Contractor Site(s): _____
25. Are records retirement procedures available electronically? Y/N

Electronic Records

26. Are electronic files set up in a consistent manner that ensures that individual electronic records are easily accessible and retrievable? Y/N
27. Approximately how many electronic systems are used in your office/facility? _____ Do these systems contain Federal records? Y/N/Don't Know Are these systems included in the DOE RIDS? Y/N/Don't Know Do you need assistance or guidance with scheduling electronic records? Y/N
28. Do you file e-mails either in hard copy or electronically? Y/N If a hard copy is printed, is it included in the appropriate file? Y/N If it is not printed, where is it maintained?
29. Does your office use a Records Management Application (RMA)? Y/N If so, does it comply with DOE Standard 4001-2000? Y/N Who is responsible for maintaining the system?
30. Is your office considering implementing an RMA? Y/N If so, when will it be installed and operational?
31. Does your office image records? Y/N If so, what types of records are imaged and how are the imaged records stored? How are paper records dispositioned once they are imaged?

Vital Records

32. Has a disaster recovery plan been developed for your site? Y/N Date of last update for:
Federal Site: _____ Contractor Site(s): _____
33. Have all vital records, regardless of media, been identified in your office? Y/N
34. What percentage of vital records are currently at risk? Federally-managed: _____
Contractor-managed: _____

Evaluation

- 35. Does the records manager periodically evaluate records management practices at the Federal level? Y/N At the contractor level? Y/N
- 36. Do evaluations include the management of electronic records and information systems? Y/N
- 37. Are written evaluation reports prepared and are responses to the reports required? Y/N
- 38. Does the records manager follow up to determine if offices implement necessary corrective actions or recommendations for improvement? Y/N
- 39. Are penalties associated with continued noncompliance? Y/N

Costs

- 40. What is the cost for full compliance with Federal regulations? _____

Targeted Assistance

- 41. If records management assistance were available through NARA's Targeted Assistance program, what type of assistance would your office need (e.g. training, assistance implementing an RMA, scheduling records, conducting a file inventory, etc.)? Please explain, giving approximate quantities if possible (e.g., # employees to train, # boxes to inventory/schedule, etc.).

Areas of Expertise

- 42. Identify specific areas of expertise within your program that can be showcased and shared with other sites, including a point of contact.